

**FINANCIAL DISCLOSURE REPORT**

Page 9 of 9 AS AMENDED

Name of Person Reporting  
Ambro, Thomas L

Date of Report  
5/12/2004

**VII. INVESTMENTS and TRUSTS** -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g. div. rent. or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
145. Legg Mason Opportunity Trust	A	Dividend	L	T	Buy	4/3	K		
146.					Buy	5/6	K		
147.					Buy	5/27	K		
148. Fairholme Fund	A	Dividend	L	T	Buy	3/27	K		
149.					Buy	5/5	J		
150.					Buy	5/24	K		
151. Aegis Value Fund Inc		None	L	T	Buy	12/31	L		

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1. Income/Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001-\$100,000	B = \$1,001-\$2,500 G = \$100,001-\$1,000,000	C = \$2,501-\$5,000 H1 = \$1,000,001-\$5,000,000	D = \$5,001-\$15,000 H2 = More than \$5,000,000	E = \$15,001-\$50,000
2. Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,000-\$500,000 P3 = \$25,000,001-\$50,000,000	K = \$15,001-\$50,000 O = \$500,001-\$1,000,000	L = \$50,001-\$100,000 P1 = \$1,000,001-\$5,000,000 P4 = \$More than \$50,000,000	M = \$100,001-\$250,000 P2 = \$5,000,001-\$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash/Market	

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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

### **AS AMENDED**

- 1) Values and income of assets listed in Part VII, page3, lines 37, 38, and Page 8, line 131 of previous report have declined below reporting value.
- 2) Asset on line 112 of this report was inadvertently omitted from the previous report. It was corrected on the previous report by a separate letter addressed to the Committee.

**FINANCIAL DISCLOSURE REPORT**

Calendar Year 2003

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Ambro, Thomas L	2. Court or Organization U.S. Court of Appeals, 3rd Cir	3. Date of Report 5/12/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5. Report Type (check appropriate type) <input type="radio"/> Nomination, <input type="radio"/> Date <input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address Federal Courthouse 844 King Street, Lock Box 32 Wilmington, DE 19801	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.  Reviewing Officer _____ Date _____	

**IMPORTANT NOTES:** The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.

**I. POSITIONS.** (Reporting individual only; see pp. 9-13 of filing instructions)

NONE - (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Thomas L. Ambro Revocable Trust
2. Immediate Past Chair	Section of Business Law of the American Bar Association
3. Chairman	Georgetown University Alumni Admissions Program Board of Advisors
4. Chairman	Georgetown University Northern Delaware Alumni Admissions Program
5. Member	Georgetown University Alumni Association (Board and Executive Committee of Board)
6. Member	Board of Editors, Delaware Lawyer
7. Member	Board of Editors, Delaware Law Review
8. Co-Chair	Collins Seitz Bankruptcy Inn of the American Inns of Court

**II. AGREEMENTS.** (Reporting individual only; see pp. 14-16 of filing instructions)

NONE - (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	

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**III. NON-INVESTMENT INCOME.** (Reporting individual and spouse; see pp. 17-24 of filing instructions)

**A. Filer's Non-Investment Income**

**NONE** - (No reportable non-investment income.)

DATE

SOURCE AND TYPE

GROSS INCOME

(yours, not spouse's)

1.

**B. Spouse's Non-Investment Income** - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

**NONE** - (No reportable non-investment income.)

DATE

SOURCE AND TYPE

1. 2003

State of Delaware

**IV. REIMBURSEMENTS** - transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

**NONE** - (No such reportable reimbursements.)

SOURCE

DESCRIPTION

1. American Bar Association

January 9-12, Palm Beach, FL, Section of Business Law Midwinter Meeting (Transportation, Lodging & Meals)

2. American Bar Association

February 6-10, Seattle, Washington, Section of Business Law representative at ABA Midyear Meeting (Transportation, Lodging & Meals)

3. Cornell Law School

February 21-23, Ithaca, NY, NY Judge at Moot Court Competition (Transportation, Lodging & Meals)

4. St. John's University

March 31, New York City, NY, Judge at Moot Court Competition (Transportation, Lodging & Meals)

5. American Bar Association

April 2-6, Los Angeles, CA, Section of Business Law Spring Meeting (Transportation, Lodging & Meals)

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(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

NONE - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
6. American Bar Association	May 17, Washington DC, Represented ABA Section of Business Law at National Asian Pacific ABA Dinner (Transportation & Meal)
7. American Bar Association	August 7-12, San Francisco, CA, ABA Annual Meeting (Transportation, Lodging & Meals)
8. New York University Law School	September 3-4, New York City, NY, Panelist at advanced bankruptcy seminar program (Transportation, Lodging & Meals)

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**V. GIFTS.** (Includes those to spouse and dependent children. See pp. 28-31 of instructions.) **NONE** - (No such reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Harvey & Ruth Miller	Tickets to Metropolitan Opera	\$590

**VI. LIABILITIES.** (Includes those of spouse and dependent children. See pp. 32-34 of instructions.) **NONE** - (No reportable liabilities.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			

**FINANCIAL DISCLOSURE REPORT**

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**VII. INVESTMENTS and TRUSTS** -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g. div. rent. or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
<input type="checkbox"/> NONE (No reportable income, assets, or transactions)									
1. Wilmington Trust Account		None	J	T					
2. Wilmington Trust Account	A	Interest	J	T					
3. Wilmington Tax Exempt Investor	B	Interest	J	T					
4. Gabelli Asset Fund		None			Sell	3/19	K		
5.					Sell	4/28	K	B	
6. Delaware State Bond 7.0%		None	K	T					
7. Delaware State Bond 6.1%		None	K	T					
8. Glasgow Professional Properties Inc		None	O	W					
9. Longwood Corporate Center South L.P. (1989 - \$50,000)	F	Rent			Sell	2/21	L		
10. Lynhaven Partners (1983 - \$23,500)	B	Rent	K	R					
11. Nantucket Island Associates Partnership (1984 - \$17,200)		None	K	R					
12. PB/Fogelman Harbour Town Partnership (1988 - \$30,300)		None	K	R					
13. Salem Plaza Associates Partnership (1984 - \$23,581)		None	K	R					
14. Trust Account #6									
15. - Evergreen Municipal Money Market FD (cash equivalent)	A	Dividend	L	T					
16. - DEL HSG MFM Quaker Hill 7.55%	B	Interest			Sell	12/5	J		
17. - Delaware EDA Pollutnt Cntl	A	Interest			Sell	9/15	K	A	
18. - Delaware Riv & Bay Auth 4.9%	D	Interest	M	T					

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19. - Centerpoint Energy Inc	A	Dividend	J	T	Buy	10/6	J		
20. - Nisource Inc	A	Dividend	J	T	Buy	10/6	J		
21. - Sirius Satellite Radio		None	J	T	Buy	12/30	J		
22. - XM Satellite Radio Holdings		None	J	T	Buy	12/30	J		
23. Trust Account #7									
24. - Firsthand FDS		None	K	T					
25. - Goldman Sachs TR ILA Money Market	A	Dividend	J	T					
26. - Vanguard Municipal Bond Fund Intermediate	C	Dividend	M	T	Partial Sale	1/27	J		
27.					Partial Sale	10/6	K		
28. - Wexford TR Muhlenkamp FD		None	K	T	Partial Sale	1/27	K		
29.					Partial Sale	2/10	K		
30. - Calamos Growth FD		None	M	T	Partial Sale	12/17	L	E	
31.					Partial Sale	2/10	K		
32. - Clipper Fund	A	Dividend	L	T	Partial Sale	2/10	K		
33. - FMI Focus Fund		None	L	T	Partial Sale	2/10	K		
34. - ING Funds Intr Value	B	Dividend	M	T					
35. - Oakmark Fund	A	Dividend	L	T	Partial Sale	2/10	K		
36. - Oakmark Global Fund CL I	A	Dividend	L	T					

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37. - PIMCO Foreign BD FD Inst	A	Dividend			Sell	1/27	K	A	
38. - T Rowe Price Intl Bond	C	Dividend	K	T	Buy	1/27	J		
39.					Buy	1/28	K		
40.					Buy	2/12	J		
41.					Partial Sale	2/10	K	B	
42. - TCW Galileo Sel Eqty		None	L	T	Partial Sale	2/10	K		
43. - Calamos Conver Tible FD CL A	B	Dividend	K	T	Buy	2/10	K		
44.					Buy	2/12	J		
45. - Pimco High YLD FD Instl	B	Dividend			Buy	2/10	K		
46.					Buy	2/12	J		
47.					Sell	12/19	L	C	
48. - Pimco Real Return FD A	D	Dividend	L	T	Buy	2/10	L		
49.					Buy	2/12	J		
50. - Pioneer High Yield	A	Dividend	K	T	Buy	12/19	K		
51. - Duke Energy Co	A	Dividend	K	T	Buy	10/7	K		
52. IRA Account #1									
53. - Goldman Schs TR ILA Money Market	A	Dividend	J	T					
54. - ING Funds Intr Value	A	Dividend	K	T					

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55. - Pimco FDS PAC Invt Mgmt Serv	A	Dividend			Partial Sale	1/27	J	A	
56.					Sell	12/19	J	A	
57. - Wexford TR Muhlenkamp FD		None	J	T	Partial Sale	2/10	J		
58. - Calamos Invt TR New		None	J	T	Partial Sale	2/10	J		
59.					Partial Sale	12/17	J	B	
60. - Clipper Fund	A	Dividend	K	T	Buy	12/30	J		
61.					Partial Sale	2/10	J		
62. - FMI Funds		None	J	T	Partial Sale	2/10	J		
63. - Oakmark Global Fund	A	Dividend	J	T	Partial Sale	2/10	J		
64. - T Rowe Price Intl	A	Dividend	J	T	Buy	1/28	J		
65.					Partial Sale	2/10	J	A	
66. - TCW Galileo FDS Inc		None	J	T	Partial Sale	2/10	J		
67. - Vanguard Bond Index FD	A	Dividend	J	T					
68. - Calamos Invt TR New Convertible FD CL A	A	Dividend	J	T	Buy	2/10	J		
69. - Oakmark Fund Class I	A	Dividend	J	T	Buy	2/10	J		
70.					Buy	2/11	J		
71. - Pioneer High Yield	A	Dividend	J	T	Buy	12/19	J		
72. - Pimco FDS PAC Invt MGMT SER Real Return BD	A	Dividend	J	T	Buy	2/10	J		

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73. - Pimco High Yield FD Instl	A	Dividend			Buy	2/10	J		
74.					Sell	12/19	J	A	
75. IRA Account #2									
76. - Goldman Sachs TR ILA Money Market	A	Dividend	J	T	Partial Sale	8/14	J		
77. - Firsthand FDS Tech Value FD		None	M	T					
78. - ING Funds Intr Value	C	Dividend	M	T					
79. - Wexford TR Muhlenkamp FD		None	L	T	Buy	2/11	J		
80.					Partial Sale	1/27	K		
81.					Partial Sale	2/7	K		
82. - Dominion Res Inc VA New	B	Dividend	K	T					
83. - Teco Energy Inc	A	Dividend	K	T					
84. - Calamos Invnt TR New		None	L	T	Buy	2/11	J		
85.					Partial Sale	2/7	K		
86.					Partial Sale	12/17	L	D	
87. - Clipper Fund Inc	B	Dividend	M	T	Partial Sale	2/7	K		
88.					Buy	2/11	J		
89.					Buy	12/30	L		
90. - FMI FDS Focus Fund		None	L	T	Buy	2/11	J		

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91.					Partial Sale	2/7	K		
92. - Oakmark Fund	A	Dividend	M	T	Partial Sale	2/7	K		
93.					Buy	2/11	K		
94.					Partial Sale	7/25	M	D	
95. - Oakmark Global Fund	A	Dividend	M	T	Partial Sale	2/7	J		
96.					Buy	2/11	J		
97.					Buy	7/25	M		
98. - Pimco Foreign BD FD Instl Class	A	Dividend			Sell	1/27	K	A	
99. - T Rowe Price Intl Bond Fund	C	Dividend	L	T	Buy	1/27	K		
100.					Buy	1/28	K		
101.					Partial Sale	2/7	K	B	
102.					Buy	2/11	J		
103. - TCW Galileo FDS Inc		None	M	T	Buy	2/11	J		
104. - RF Monolithics Inc		None	J	T	Buy	7/25	J		
105.					Buy	8/13	J		
106. - Calamos Invt TR New Convertible FD CLA	B	Dividend	K	T	Buy	2/7	K		
107. - Pimco FDS PAC Invt MGMT SER Real Return	C	Dividend	L	T	Buy	2/7	L		
108.					Partial Sale	12/19	K	C	

1. Income/Gain Codes:	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
(See Columns B1 and D4)	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H1 = \$1,000,001-\$5,000,000	H2 = More than \$5,000,000	
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(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Ambro, Thomas L

Date of Report  
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**VII. INVESTMENTS and TRUSTS** - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g. div. rent. or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
109. - Pioneer High Yield		None	K	T	Buy	12/19	K		
110. - Pimco High Yield FD Instl	C	Dividend			Buy	2/7	K		
111.					Sell	12/19	K	C	
112. Note receivable from Louis P. Olivere, Jr.	E	Interest	L	T					
113. Trust Account #12									
114. - Firsthand Tech Value FD		None	K	T					
115. - GS ILA Money Mkt Instl	A	Dividend	J	T	Partial Sale	4/14	J		
116. - Wexford TR Muhlenkamp FD		None	K	T	Partial Sale	1/27	K		
117.					Partial Sale	2/7	K		
118. - Cisco Systems Inc		None	K	T					
119. - Calamos Invt TR New		None	M	T	Partial Sale	2/7	K		
120.					Partial Sale	12/17	L	E	
121. - Clipper Fund Inc	B	Dividend	L	T	Partial Sale	2/7	K		
122. - FMI FDS Focus Fund		None	L	T	Partial Sale	2/7	K		
123. - ING Funds Intr Value	B	Dividend	M	T	Partial Sale	2/7	K		
124. - Oakmark Fund Class I	A	Dividend	L	T	Partial Sale	2/7	K		
125.					Partial Sale	7/25	K	C	
126. - Oakmark Global Fund	A	Dividend	L	T					

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**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting  
Ambro, Thomas L

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**VII. INVESTMENTS and TRUSTS** -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g. div. rent. or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
127. - Pimco Foreign BD FD	A	Dividend			Sale	1/27	K	A	
128. - T Rowe Price Intl Bond Fund	C	Dividend	L	T	Buy	1/27	K		
129.					Buy	1/28	K		
130.					Partial Sale	2/7	K	B	
131. - TCW Galileo FDS Inc		None	L	T	Partial Sale	2/7	K		
132. - Calamos Conver Tible FD CLA	B	Dividend	L	T	Buy	2/7	K		
133.					Buy	2/12	J		
134. - Pimco High Yield FD Instl	C	Dividend			Buy	2/7	K		
135.					Buy	2/12	J		
136.					Sell	12/19	L	D	
137. - Pimco Real Return	C	Dividend	L	T	Buy	2/7	K		
138.					Buy	2/12	J		
139. - Pioneer High Yield FD A	A	Dividend	L	T	Buy	12/19	L		
140. Springside, LLC (2000 - \$300,000)		None	P1	W					
141. The Henlopen Fund		None	J	T					
142. Solomon Smith Barney		None			Closed				
143. Fahnestock Prime Cash Series	A	Dividend	J	T					
144. Delaware State Revenue Bond		None			Sell	12/1	J		

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 (See Columns B1 and D4) F = \$50,001-\$100,000 G = \$100,001-\$1,000,000 H1 = \$1,000,001-\$5,000,000 H2 = More than \$5,000,000
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**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting  
Ambro, Thomas L

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**VII. INVESTMENTS and TRUSTS** -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g. div. rent. or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
145. Legg Mason Opportunity Trust	A	Dividend	L	T	Buy	4/3	K		
146.					Buy	5/6	K		
147.					Buy	5/27	K		
148. Fairholme Fund	A	Dividend	L	T	Buy	3/27	K		
149.					Buy	5/5	J		
150.					Buy	5/24	K		
151. Aegis Value Fund Inc		None	L	T	Buy	12/31	L		
152. Metlife, Inc.	A	Dividend	K	T					

1. Income/Gain Codes:	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
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# FINANCIAL DISCLOSURE REPORT

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Ambro, Thomas L.

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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

- 1) Values and income of assets listed in Part VII, page3, lines 37, 38, and Page 8, line 131 of previous report have declined below reporting value.
- 2) Asset on line 112 of this report was inadvertently omitted from the previous report. It was corrected on the previous report by a separate letter addressed to the Committee.
- 3) Asset reported on line 152 of this report was omitted, because of the lack of information, from the 2000-2002 reports.

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

Ambro, Thomas L

Date of Report

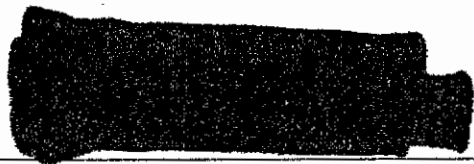
5/12/2004

**IX. CERTIFICATION.**

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

May 12, 2004

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

**FILING INSTRUCTIONS**

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544